4.0 PR Receipt Focus Team for TIPS

PR-Receipt Financial Team

Scope: Our team's scope was to determine how to obtain proper financial codes for the PO at the best possible point during the procurement process and how to ensure funding authorization with a minimum of disruption to the rest of the process. We also are to recommend interfaces and possible screens, as well as identify management issues.

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Validation Of Existing Documentation: There has been a CQI team working on this subject for the last two years. Many of the recommendations for this process stem from the conclusions of this team. The documentation will be sent separately from this report.

Primary Requirements:

Prioritized Functional Requirements: The primary functional requirement from this team is the ability to capture, validate and authorize financial codes on the PR. The following process is recommended:

Suggested Process - PR

1. The requester enters Financial Codes (referred to hereafter as codes) on the on-line PR. If the codes are not valid, the requester receives a warning message. As part of the warning, the screen will tell the requester that a copy of the PR will be sent to the Budget Analyst. This screen will show who the default analyst is (see Management Issue #1 regarding identifying the Budget Analyst), but the requester can view and pick from a list of other Budget Analysts assigned to the division. A copy of the PR then gets routed to the Budget Analyst. The Budget Analyst will receive a warning message via E-mail that there is a PR that needs coding changes, and will continue to receive warning messages daily until the PR coding is corrected. A pull-down list of PO's being held for funding problems could be viewed by cost center or by the Budget Analyst. The PR cannot go past the Budget Analyst with bad codes. The requester would receive a notice daily that the PR is being held up due to inactive codes. The PR codes can be fixed by either the requester or the Budget Analyst.
2. Prompts will help to determine the expense code for a procurement, and also if the item should be capital funded.
3. Prompts will determine whether an item needs to be bar-coded.
4. Certain PRs must be routed for approval by Property Accounting.

5. All capital equipment and construction codes must be approved for funding by BUS-2.
6. When the codes have been corrected, the PR can proceed to the Group Leader, Project Leader, BUS-2 and/or Property Accounting if necessary for approval. The codes for every PR over a certain dollar threshold, or POs to a certain program code, or POs from a certain requester (to be determined by the approving official) must be approved by the approving official. (Most PR s would not be subject to multiple approvals; but the ability to require approvals should be in the system.)
7. A notification would be sent to the Property Administrator for any item that is to be property numbered or bar-coded. The PA could then de-control if necessary before the property number is assigned.
8. If the actual price of the procurement is the greater of 20% or $500 more than the estimated price supplied by the requester, or if the requested price is less than $5,000 and the actual price is greater than $5,000 the contract administrator will resubmit the PR for approvals to the requester and other approvers before placing the procurement.

Interfaces:

Management Issues:

A major concern of the team is the lack of integrity of data concerning the responsible analyst for the cost center. The team suggests creating a screen that would allow the analysts to change this data themselves. (BUS-1 would maintain control of the chart of accounts.) There would be dual control from both the analyst relinquishing control and the analyst taking over control of the cost center.